

California Department of Corrections

Financial Information Memo

SUBJECT:	FIM NUMBER:
POSITION RECONCILIATION OF POSTED POSITIONS WITH RELIEF	2004-12
REFERENCES:	DATE: 09/16/2004
DOM SECTION 51050	

DISTRIBUTION

Chief Deputy Director, Field Operations
Chief Deputy Director, Support Services
Deputy Directors, Financial Services Division, Health Care Services Division, and
Institutions Division
Wardens (please provide to Business Services and Personnel Assignments Offices)
Health Care Managers
Chief, Program Support Unit, Institutions Division
Chief, Fiscal Management and Standardization Branch, Financial Services Division
Chief, Field Management Section, Health Care Services Division

PURPOSE

This Financial Information Memo (FIM) standardizes the roles and responsibilities of individuals involved in position reconciliation of posted positions with relief in an effort to improve fiscal management.

BACKGROUND

The Post Assignment Schedule (PAS) is a document utilized to identify how the Governor's Budget, May Revision, and Budget Act are converted to authorized staffing of an institution. The Master Assignment Roster (MAR) provides an approved method for implementing the staffing operation of an institution on a day-by-day (shift-by-shift) basis. These documents must reconcile to each other and the Department's formal budgeted position authority to ensure sound fiscal management. Departmental Operation Manual (DOM) Section 51050 details the policies regarding the PAS and MAR. This section of the DOM is currently being revised to reflect the new procedures outlined in this FIM. The Institutions Division (ID) Program Support Unit (PSU) previously provided training on the PAS and the MAR processes to all institutions during Fall 2003. Another training started August 2004, and is expected to be completed in November 2004.

The Budget Act of 2004 includes language requiring the Department to provide PAS's for each institution, reconciled to the budgeted authority and consistent with approved program within the following timelines:

"No later than 60 days following enactment of this act, and subsequently on February 10 and upon release of the May Revision, the Director of Corrections shall submit to the Director of Finance the PAS's for each institution, reconciled

California Department of Corrections Financial Information Memo

to budgeted authority and consistent with the approved program, along with allotments consistent with reconciled PAS's for each institution."

Although the Budget language requires three reconciliations per year, the CDC, Financial Services Division (FSD) will secure approval from the Department of Finance (DOF) on the methodology for two reconciliations per year. The aforementioned reconciliation would only be due 60 days following enactment of the Budget Act and 30 days following release of the Governor's Budget. Additionally, the reconciliation following the Governor's Budget may only include budget approvals through December 1.

DISCUSSION

Within the California Department of Corrections (CDC) there is a necessity to determine the point in time budgeted position authority of each institution on an on-going basis. Standardization and consistent adherence to these new procedures will provide management with vital information for reporting to control agencies and for managing the Department's operations.

In order to consistently capture data across all institutions, the use of standardized categories within the PAS shall be utilized. These categories are: Budgeted Position Authority (institution 1), Pending Changes to Established Positions (STD 607) (institution 20) Approval, Non-Budgeted Position Authority (institution 30), and Reimbursable Positions (institution 40).

Budgeted Position Authority is defined as a correction or modification of the Proposed Budgeted Authority, from the Schedule 7A process, to reflect positions that are authorized for current year. Calculations are based on position authority received via a formal budget process/document and supported by actual inmate population. This number will be utilized to reconcile to the PAS and ensure institutions are operating within funded levels.

California Department of Corrections

Financial Information Memo

ACTION REQUIRED

All areas denoted below will be held accountable for their roles as follows:

BUDGET MANAGEMENT BRANCH (BMB)

BMB Institution Analysts

- Prepare and review documents related to changes in position authority. Changes to position authority are requested, reflected and/or approved via STD 607, Schedule 7A, 8, 2, Policy and Fall Population Budget Change, May Revise, Finance Letter, and Legislative Change Book processes. Post all changes in position authority to recap within 8 working days of formal position authority process approval.
- Approximately one month before the Governor's Budget is released and approximately five working days after the release of the Budget Act each individual on the FIM distribution will receive a document reflecting changes to position authority as detailed in that budgetary process. All documents reporting changes in position authority will include name of institution, name of fiscal process, name of activity/purpose, the number of positions, classification, and effective date. This document will constitute authorization to submit 607s in accordance with effective dates.
- Within 10 working days of receipt from the institution or program, process STD 607 documents, confirm budgeted position authority citation prior to submittal to the State Controller's Office (SCO), and post position authority changes to the Position Reconciliation (Recap).
- Within three working days of institutions review of Position Authority Reconciliation Chart, BMB will research Proposed Budgeted Position Authority discrepancies with institutions and submit final Proposed Budgeted Position Authority numbers by institution by fiscal process, to BMB Position Reconciliation and Allotment Unit (PRAU).

BMB Position Reconciliation and Allotment Unit

- BMB PRAU will determine and enter fiscal process and current year adjustment position authority changes for all posted positions with relief onto the Position Authority Reconciliation Chart (PAR) approximately 19 working days prior to approval of the Governor's Budget and approximately upon release of the Budget Act.

California Department of Corrections Financial Information Memo

- Post STD 607 to the PAR on an ongoing basis.
**Institutions will have responsibility for notifying BMB if the document has been rejected by the SCO.*
- Calculate changes to the budgeted activations portion of the PAR in order to establish point in time authority on a monthly basis.
- Prepares and distributes a draft PAR to the distribution list approximately 20 working days prior to the Governor's Budget and approximately three working days after the release of the Budget Act. The PAR will be adjusted for any differences identified by institutions review. A final PAR will follow in 12 working days.
- Identify differences in Proposed Budgeted Position Authority as calculated by BMB and the institution. Within three working days of institutions deadline to review the PAR, BMB institution analyst will reconcile differences with the institution and report the final Proposed Budgeted Position Authority to PRAU.
- Tracks Budgeted Position Authority by institution for all posted positions with relief.
- PRAU is the final authority/sign off for determining the accurate Budgeted Position Authority (point in time position authority) number for all posted positions with relief.
- Prepares and distributes to institutions the BMB 30-Day Emergency Activation Notice (Attachment A) based on the Monthly Institution Activation Schedule and emergency revision of Institution Activation Schedule (IAS) from PSU. This will be distributed 5 working days following receipt of monthly IAS from PSU. The purpose of the BMB 30-Day Emergency Activation Notice is to report changes to the IAS, authorize any associated temporary or permanent position authority, or require the deletion of positions. BMB PRAU will track, calculate, and report IAS changes for all posted positions with relief.
- Schedules quality control check meeting of all PAS's, MARs, and PARs for posted positions with relief with PSU, Health Care Services Division (HCSD) and FSD within 4 working days of receipt of all PAS's and MARs from the PSU and HCSD. Prepares transmittal letter, routes for final signature by BMB and Institutions Division, Program Support Unit Chiefs, and distributes to the DOF, PSU, HCSD, and all institutions (with their PAR, PAS, and MAR only) nine working days after receiving final PAR and MAR.

INSTITUTIONS

- All wardens shall maintain currently approved PAS's. The schedules shall reflect the most recent revisions of 30 days duration or longer. Questions about food

California Department of Corrections Financial Information Memo

service or custody PAS's or staffing packages are to be directed to PSU. Questions about health care PAS or staffing packages are to be directed to HCSD. Any questions about the PAR or 607s are to be directed to the BMB institution analyst. Any questions about the BMB 30-Day Emergency Activation Notice are to be directed to the BMB PRAU.

- Institutions must maintain a separate PAS and MAR for Custody (Lieutenant, Sergeant, and Officer), Food Services (Supervising Correctional Cook, Sup Cook I, Sup Cook II,) and Health Care Services (Medical Technical Assistant, Registered Nurse, and Psychiatric Technicians).
- Wardens shall submit for review to the Deputy Director (Institutions Division via the Chief, PSU for custody and food service, HCSD via Chief, Field Management Section, for health care), any redirection of 30 days duration or more. Submittal shall include a comprehensive justification in the form of a memorandum explaining the proposed changes, and the reason for changes. Include the PAS Detail Sheet (CDC 671A) (existing and proposed) and the revised PAS Summary Sheet (CDC 671B). If the change includes the deletion of a post(s), the institution shall explain what adverse effect, if any, it will have on the remainder of the operation.

The Institution 30 section of the PAS is to include an explanation for each position. Typically, this section should only include positions authorized for temporary establishment via Form 647 pending budget authority. The PAS will also include any local agreements tied to Institution 30 entries.

- Wardens shall confirm reconciliation of their PAS's twice a year and submit copies of the reconciled PAS, MAR, CDC 671's (A, B, C) for posted positions with relief and the electronic backup of the current Personnel Post Assignment System (PPAS) information from the Personnel Assignment Office (custody only), within 15 working days of receipt of the draft BMB document that details changes to budgeted position authority that were included in the Governor's Budget, or the Budget Act. The custody and food service posted positions with relief are to be submitted to the PSU, Institutions Division for review and to the Chief, Field Management Section, HCSD for review of health care posted positions with relief. This submittal is to include the written approval of the Warden for food service and custody posted positions with relief and the Health Care Manager for all health care posted positions with relief. Corrections to the PAS/MAR as requested by PSU or HCSD are due within 4 working days of their review.

California Department of Corrections Financial Information Memo

- Correctional Administrator, Business Services shall have overall responsibility for
Ensuring the PAS is reconciled to the Department's budgeted position authority utilizing the following documents:

Schedule 7A

Recap

STD 607

Schedule 8 (transactional form 33)

Default tab

May Revise and Population Budget Change Proposal costings

Automated and Supplemental Annotated Schedule 2s

PARs.

Each institution is responsible to review their PAR for accuracy. All change requests must be submitted to the PRAU and the BMB Institution budget analyst within 5 working days of receipt of the PAR.

The reconciliation process shall be completed utilizing committee's established by:

Custody – Correctional Captain (Central Services/Custody)

Food Services-Correctional Food Manager

Health Care- Health Care Manager

- Correctional Administrator of Business Services must report in writing to the Warden or Health Care Manager any additions or deletions to the PAS and the MAR.
- Wardens/Health Care Managers shall approve or deny all additions or deletions to the PAS and MAR.
- Institution must maintain on file all revised PAS and MAR documentation for a period of 36 months.
- Institutions shall submit STD 607 documents for all changes to established positions as detailed through formal budget processes within 15 working days of receipt of BMB notification.
- Institutions shall notify BMB of rejection or change to a STD 607 within 10 working days of notification from the State Controller's Office.

California Department of Corrections

Financial Information Memo

INSTITUTIONS DIVISION (ID)

PROGRAM SUPPORT UNIT (PSU)

- Shall review all requests for any redirection of 30 days duration or more forwarded by the institution to the Deputy Director, Institutions Division, via PSU and make recommendation to the Deputy Director within 5 working days.
- By the last working day of the month prior to the next change to the IAS, PSU shall distribute to institutions and PRAU the Monthly Institution Activation Schedule and emergency revision of IAS's (monthly IAS). PSU shall reconcile position totals from BMB 30-Day Emergency Activation Notices to Institution 30 totals by institution as a part of their review of PAS's.
- Shall review Custody and Food Service Position Reconciliation packages (PAS/MAR, etc) submitted by the institutions for adherence to policies and to ensure reconciliation to the Department's budgeted position authority and shall submit a report to the Assistant Deputy Director, Institutions Division either confirming or providing recommendations for reconciliation within 8 working days of receipt from the institution. Participate in quality control review with HCSD and FSD approximately 13 working days prior to due date to DOF. If further changes are necessary, e.g. to the PAS or 607s are necessary, submit Compliance Action Notification to institution immediately following quality control review.
- Provide final PAS's and MAR's to PRAU to be presented to the DOF 10 working days prior to the deadline for the Governor's Budget and Budget Act. Submittal from PSU to include reconciled PAS's and MAR's from all institutions for all custody and food service posted positions.

HEALTH CARE SERVICES DIVISION (HCSD)

FIELD MANAGEMENT SECTION (FMS)

- Track budgeted position authority by institution for posted Health Care classifications.
- Shall review all requests for any redirection of 30 days duration or more forwarded by the institution to the Deputy Director, HCSD, via FMS, and make recommendation to the Deputy Director within 5 working days.
- Shall review health care posted position reconciliation packages (PAS and MAR) submitted by the institutions for adherence to policies and to ensure reconciliation to the Department's budgeted position authority and shall submit a report to the appropriate Assistant Deputy Director, HCSD either confirming or providing recommendations for reconciliation within 8 working days of receipt from the institution. Participate in quality control review of posted positions with relief with ID and FSD approximately 13 working days prior to due date to DOF. If

California Department of Corrections Financial Information Memo

further changes are necessary, e.g. to PAS or 607's are necessary, submit Compliance Action Notification to institution immediately following quality control review.

- Provide PAS and MAR package of posted positions with relief to PRAU, to be presented to the DOF, 10 working days prior to the deadline for the Governor's Budget and Budget Act. Package to include reconciled PAS's and MAR's from all institutions for all health care posted positions with relief.

All aforementioned due dates are subject to the timely release of the Budget Act and Governor's Budget. All task durations remain unchanged.

If you have questions regarding this FIM, please contact the following individuals:

PAS and MAR questions:

Custody and Food Service: John Campbell, Chief, PSU, (916) 323-4434

Health Care: Yulanda Mynhier, Chief (A), Field Management Section, (916) 327-2302

Budgetary Process: Karim Noujaim, Budget Officer, Budget Management Branch, (916) 323-0101

Original Signed by:

WENDY STILL
Deputy Director
Financial Services Division

[Attachment](#)

cc: David Lewis, Assistant Deputy Director, Financial Services Division